

**DEPOSITORIES OF RECORDS**

- I. **PURPOSE:** To designate depositories for certain records required to be filed with the Securities Division of this Office.
- II. **APPLICABILITY:** Broker-dealers and investment advisers (IA) registered with this Office.
- III. **GENERAL:** In accordance with LSA-R.S. 51:710(H), the Commissioner designates the following depositories for records required to be filed with the Securities Division of this Office:

<u>Record</u>	<u>Depository</u>
• Form ADV, Part I, filed by state-registered IA pursuant to Sec. 703(D)	Investment Adviser Registration Depository
• Form ADV, Parts I and II, filed by notice-filing IA pursuant to Sec. 703(D)	Securities and Exchange Commission
• Financial statements filed by notice-filing IA pursuant to 703(D) and 703(F)	Securities and Exchange Commission
• Form BD filed by all broker-dealers pursuant to Sec. 703(B)	Central Registration Depository
• Financial statements filed by out-of-state broker-dealers pursuant to Sec. 703(B)(1)(j) and 703(F)	National Association of Securities Dealers

- IV. **EXCEPTION:** The Commissioner reserves the right to request copies of any of the above records.

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John Ducrest  
Commissioner of Financial Institutions

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Date